KEEP System

Stakeholder Advisory Team Meeting

September 15, 2010

Overview

- Project Update

- Policy Framework

  - Overview

  - Discussion

Project Update – Recast Schedule

- **Policy framework**
  - Initial: Jul 30, 2010
  - Recast: Sep 3, 2010

- **Requirements**
  - Initial: Jun 30, 2010
  - Recast: Sep 3, 2010

- **Detailed design**
  - Initial: Aug 30, 2010
  - Recast: Nov 12, 2010

- **Infrastructure installation**
  - Initial: Jul 20, 2010
  - Recast: Sep 13, 2010

- **Prototype build**
  - Initial: Nov 30, 2010
  - Recast: Feb 11, 2011

- **Project closeout**
  - Initial: Dec 30, 2010
  - Recast: Apr 5, 2011

Project Update – Policy Framework

- Five iterations with Imerge team (Jun – Sep 2010)

- Review process

  - KEEP development team critiques

  - Propylon critique

  - NDIIPP evaluator (Cal Lee) critique

  - SME workshop (7/13/10)

- Version 1.0 accepted Sep 10, 2010

Project Update – Requirements

- Four iterations with Propylon team

- GPO Federal Digital System (Fdsys) requirements the model

- Review process

  - KEEP development team participation in requirements review sessions

  - Imerge critique

  - Technical SME briefing and discussion (8/31/10)

  - NDIIPP evaluator (Cal Lee) critique – pending

Project Update – Infrastructure

- Network design developed by DISC

- Equipment installation scheduled for Topeka and Wichita

Project Update – Detailed Design

- First design meeting Sept 9th
  - Initial focus on metadata requirements
  - SME participation
- Information gathering with prototype agencies

Policy Framework

- 1.0 Purpose

- 2.0 Compliance

- 3.0 Organizational Viability

- 4.0 Facility Management & Operational Controls

- 5.0 Compliance Reviews

- 6.0 Policy Administration

- 7.0 Privacy & Data Protection

1.0 Purpose

Policy Adoption

- State Records Board approves

- ITEC facilitates implementation

Objectives

- Trusted digital repository for **long-term** Kansas government records
    - Long-term = long enough for there to be a concern about changing technologies
    - Long-term for KEEP = 10+ year retention period
- Public access with accommodations for access restrictions
- Maintain chain of custody to preserve authenticity
- Authenticate records upon request
- Automated capture of metadata
- Ingest records early in lifecycle

1.0 Compliance

Standards & Best Practices

- OAIS
- TRAC
- PAIMAS
- PREMIS
- METS

- UETA
- COBIT

Compliance Audit Procedures

- Regular audits for compliance with standards and best practices

- Schedule for self-audits and external audits

3.0 Organizational Viability

Roles and Responsibilities

Kansas Historical Society (KSHS)

- Responsible for preserving and providing access to authentic government records stored in the KEEP System

- KEEP System business process owner

- Adapt traditional records management responsibilities and procedures to digital environment

- Negotiate submission agreements with producers

- Financial sustainability

State Archivist

- Chairs Electronic Records Committee

- Recommends standards for preserving and maintaining the authenticity of digital records

- Certifies authenticity of records in KEEP

- Reviews IT project plans – ITEC Guideline 2400A

State Records Board (SRB)

- Approves retention and disposition schedules for executive branch agencies and counties (including Regents)

- Approves KEEP Policy Framework

- Approves standards for preserving and maintaining the authenticity of digital records

- Approves electronic recordkeeping plans for executive branch agencies and county government

- Issues administrative regulations to support KEEP System

Other Retention and Disposition Authorities

- Judicial branch
  - Supreme Court Rule 108 – Retention schedule for district courts
- Legislative branch

Electronic Records Committee

- Advisory to SRB and ITEC

  - Recommends and/or reviews revisions to KEEP Policy Framework

  - Reviews standards for preserving and maintaining the authenticity of digital records

  - Reviews electronic recordkeeping plans

- Advisory to KSHS in operation of KEEP System

  - Participates in preservation planning

  - Reviews KEEP System audits

- Promotes use and expansion of KEEP System

Information Technology Executive Council

- Supports State Archivist role in review IT project plans

    - ITEC Guideline 2400A

- Facilitates implementation of KEEP System Policy Framework

KEEP System Operator

- Establishes, operates, maintains, and upgrades KEEP System technical infrastructure

- Provides regular system performance reports including identification of potential risks

Other Roles & Responsibilities

- Organizational leadership

- Agency records officers

- Chief Information Technology Architect

- Chief Information Technology Officers

- Information Network of Kansas

Discussion